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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT    | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|--------------------------|------------------------|
| 10/076,024         | 02/12/2002          | Daniel George Bridgwater | CIN-0103-US            |

Mr. Daniel C. Stelter  
Cincinnati Machine  
Patent Law Department  
4701 Marburg Avenue  
Cincinnati, OH 45209



CONFIRMATION NO. 7370

## FORMALITIES LETTER



\*OC000000007602446\*

Date Mailed: 03/07/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$126.
  - \$126 for 7 total claims over 20.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 996.

*A copy of this notice MUST be returned with the reply.*

M-HAILE

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10076024  
06/11/2002 ZJUH81 00000039 500760  
01 FC:101 740.00 CH  
02 FC:103 126.00 CH  
03 FC:105 130.00 CH

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A circular stamp from the Office of Intellectual Property (OIPE). The text "OIPE" is at the top, "JUN 07 2002" is in the center, and "PATENT &amp; TRADEMARK OFFICE" is at the bottom. To the right of the stamp, the text "SC26 301" is visible.

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Examiner:

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**RESPONSE TO NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL  
APPLICATION FILED UNDER 37 C.F.R. 1.53(b) - FILING DATE GRANTED**

amount of \$1146.00 consisting of: 1) \$740.00 for payment of the basic filing fee; 2) \$126.00 for payment of seven additional claims in excess of 20; 3) \$130.00 for payment of the surcharge for submitting the above-stated fee and declaration later than the filing date of the present application; 4) \$40.00 for payment of the fee for recording an assignment as against one (1)

patent application; and, 5) \$110.00 payment of the fee for filing the enclosed Request for Extension of Time Under 37 C.F.R. § 1.136(a); and,

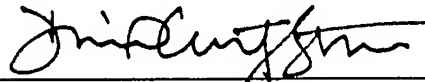
5. A certified copy of UK patent application serial no. 0103959.3 filed on 17 February 2001 to which Applicant claims priority under 35 U.S.C. 119, 11 sheets.

The undersigned hereby certifies that a true and accurate copy of the within "Response To Notice To File Missing Parts Of Nonprovisional Application Filed Under 37 C.F.R. 1.53(B) - Filing Date Granted", together with all attachments referred-to therein, is being deposited with the U.S. Postal Service in an envelope addressed to the Honorable Commissioner for Patents, United States Patent & Trademark Office, Washington, D.C. 20231, for first-class mail delivery, postage pre-paid, on this the 31st day of May, 2002.

Respectfully submitted,

DANIEL GEORGE BRIDGWATER, Applicant

Date: 31 May 2002



Daniel C. Stelter, Reg. No. 40,830  
Counsel for Applicants

Cincinnati Machine, A UNOVA Company  
4701 Marburg Avenue, Cincinnati, Ohio 45209  
(513) 841-7032 phone, (513) 841-7020 fax  
dan\_stelter@cinmach.com e-mail

## Cincinnati Machine

31 May 2002

A **UNOVA** Company

### CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

4701 Marburg Avenue  
Cincinnati, Ohio 45209  
513.841.7032 telephone  
513.841.7020 facsimile  
dan.stelter@cinmach.com



I hereby certify that a true and accurate copy of the correspondence listed below is being deposited with the U.S. Postal Service in an envelope addressed to the Honorable Commissioner for Patents, United States Patent and Trademark Office, Washington, D.C. 20231, for first-class mail delivery, postage pre-paid, on this the 31st day of May, 2002.

Daniel C. Stelter, Registration No. 40,830

Honorable Commissioner for Patents  
United States Patent and Trademark Office  
Box MISSING PARTS  
Washington, D.C. 20231

**RE: RESPONSE TO NOTICE TO FILE MISSING PARTS - FILING DATED GRANTED**

**Applicants : BRIDGWATER**  
**Title : SWARF FLUSHING SYSTEM**  
**Serial No. : 10/076,024**  
**Filed on : 14 FEBRUARY 2002**  
**Priority : 17 FEBRUARY 2001**  
**Our Ref. : CIN-0103-US**

Dear Commissioner:

Enclosed herewith for filing, please find the following:

1. Transmittal After Filing, Form PTO/SB/21, 1 sheet;
2. Fee Transmittal, Form PTO/SB/17; 1 sheet;
3. A Response to File Missing Parts of Nonprovisional Application Filed Under 37 C.F.R. 1.53(b) - Filing Date Granted; 2 sheets, with attachments:
  - a. A copy of Notice to File Missing Parts, 1 sheet;
  - b. A Declaration Under 37 C.F.R. § 1.63 by Applicant, 2 sheets;
  - c. An Authorization to Charge Applicant's Deposit Account No. 50-0760 in the amount of \$1146.00 consisting of: 1) \$740.00 for payment of the basic filing fee; 2) \$126.00 for payment of seven additional claims in excess of 20; 3) \$130.00 for payment of the surcharge for submitting the above-stated fee and declaration later than the filing date of the present application; 4) \$40.00 for payment of the fee for recording one assignment as against one (1) patent application; and, 5) \$110.00 payment of the fee for filing the enclosed Request for

Extension of Time Under 37 C.F.R. § 1.136(a), 2 sheets;

d. A Request for Extension of Time Under 37 C.F.R. § 1.136(a), 2 sheets;

4. An Assignment of Application executed by the inventor on 31 May 2002, 1 sheet, with Recordation Cover Sheet, Form PTO-1595, 1 sheet, attached thereto;

5. A certified copy of UK patent application serial no. 0103959.3 filed on 17 February 2001 to which Applicant claims priority under 35 U.S.C. 119, 11 sheets and,

6. A self-addressed, postage pre-paid, return-receipt postcard.

Please stamp the enclosed postcard and return it to us to indicate your receipt of the above-referenced documents. Thank you for your assistance in this matter.

With kindest regards,



Daniel C. Stelter  
Counsel for Applicants  
Registration No. 40,830

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

AMOUNT OF PAYMENT

(\$) 1146.00

## Complete if Known

|                      |                  |
|----------------------|------------------|
| Application Number   | 10/076,024       |
| Filing Date          | 14 FEBRUARY 2002 |
| First Named Inventor | BRIDGWATER       |
| Examiner Name        |                  |
| Group Art Unit       | 3722             |
| Attorney Docket No.  | CIN-0103-US      |

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 50-0760  
Deposit Account Name: CINCINNATI MACHINE

- ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description        | Fee Paid |
|----------------------------|----------------------------|------------------------|----------|
| 101 740                    | 201 370                    | Utility filing fee     | 740.00   |
| 106 330                    | 206 165                    | Design filing fee      |          |
| 107 510                    | 207 255                    | Plant filing fee       |          |
| 108 740                    | 208 370                    | Reissue filing fee     |          |
| 114 160                    | 214 80                     | Provisional filing fee |          |

SUBTOTAL (1) (\$) 740.00

### 2. EXTRA CLAIM FEES

Total Claims: 27  
Independent Claims: 0  
Multiple Dependent: 0

Extra Claims: 7  
Fee from below: 18  
Fee Paid: 126

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  |
|----------------------------|----------------------------|--|
| 103 18                     | 203 9                      | Claims in excess of 20                                     |
| 102 84                     | 202 42                     | Independent claims in excess of 3                          |
| 104 280                    | 204 140                    | Multiple dependent claim, if not paid                      |
| 109 84                     | 209 42                     | ** Reissue independent claims over original patent         |
| 110 18                     | 210 9                      | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$) 126.00

\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  | Fee Paid |
|----------------------------|----------------------------|--|----------|
| 105 130                    | 205 65                     | Surcharge - late filing fee or oath  | 130.00   |
| 127 50                     | 227 25                     | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139 130                    | 139 130                    | Non-English specification  |          |
| 147 2,520                  | 147 2,520                  | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112 920*                   | 112 920*                   | Requesting publication of SIR prior to Examiner action                     |          |
| 113 1,840*                 | 113 1,840*                 | Requesting publication of SIR after Examiner action                        | 110.00   |
| 115 110                    | 215 55                     | Extension for reply within first month                                     |          |
| 116 400                    | 216 200                    | Extension for reply within second month                                    |          |
| 117 920                    | 217 460                    | Extension for reply within third month                                     |          |
| 118 1,440                  | 218 720                    | Extension for reply within fourth month                                    |          |
| 128 1,960                  | 228 980                    | Extension for reply within fifth month                                     |          |
| 119 320                    | 219 160                    | Notice of Appeal   |          |
| 120 320                    | 220 160                    | Filing a brief in support of an appeal                                     |          |
| 121 280                    | 221 140                    | Request for oral hearing   |          |
| 138 1,510                  | 138 1,510                  | Petition to institute a public use proceeding                              |          |
| 140 110                    | 240 55                     | Petition to revive - unavoidable   |          |
| 141 1,280                  | 241 640                    | Petition to revive - unintentional   |          |
| 142 1,280                  | 242 640                    | Utility issue fee (or reissue)   |          |
| 143 460                    | 243 230                    | Design issue fee   |          |
| 144 620                    | 244 310                    | Plant issue fee  |          |
| 122 130                    | 122 130                    | Petitions to the Commissioner  |          |
| 123 50                     | 123 50                     | Processing fee under 37 CFR 1.17(q)  |          |
| 126 180                    | 126 180                    | Submission of Information Disclosure Stmt                                  |          |
| 581 40                     | 581 40                     | Recording each patent assignment per property (times number of properties) | 40.00    |
| 146 740                    | 246 370                    | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149 740                    | 249 370                    | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179 740                    | 279 370                    | Request for Continued Examination (RCE)                                    |          |
| 169 900                    | 169 900                    | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 280.00

## SUBMITTED BY

Name (Print/Type) Daniel C. Stelter

Registration No. (Attorney/Agent) 40,830

## Complete (if applicable)

Telephone 513.841.7032

Signature

Date 31 MAY 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

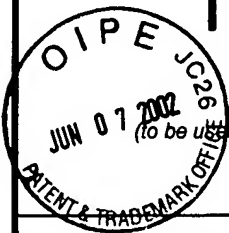
Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

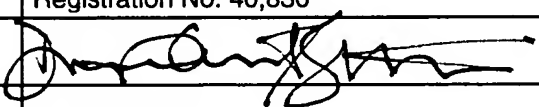
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

|   |                      |                        |             |
|---|----------------------|------------------------|-------------|
|  <b>TRANSMITTAL FORM</b> | Application Number   | 10/076.024             |             |
|   | Filing Date          | 14 FEBRUARY 2002       |             |
|   | First Named Inventor | BRIDGWATER             |             |
|   | Group Art Unit       | 3722                   |             |
|   | Examiner Name        |                        |             |
| Total Number of Pages in This Submission  | 27                   | Attorney Docket Number | CIN-0103-US |

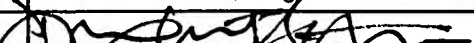
**ENCLOSURES** (check all that apply)

|   |  |   |
|---|--|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><input checked="" type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment / Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input checked="" type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input type="checkbox"/> Information Disclosure Statement<br><input checked="" type="checkbox"/> Certified Copy of Priority Document(s)<br><input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input checked="" type="checkbox"/> Assignment Papers (for an Application)<br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):<br>cover letter, 2 sheets; rqst for exrn time, 2 sheets; auth to chrg dep acct, 2 sheets; copy of notice of miss prts, 1 sheet; postcard, 1 sheet |
| <b>Remarks</b>  |  |   |

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

|                         |   |
|-------------------------|---|
| Firm or Individual name | Daniel C. Stelter<br>Counsel for Applicant(s)<br>Registration No. 40,830            |
| Signature               |  |
| Date                    | 31 MAY 2002   |

**CERTIFICATE OF MAILING**

|   |   |
|---|---|
| I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: <input type="text"/> |   |
| Typed or printed name   | Daniel C. Stelter, Registration No. 40,830  |
| Signature   |  |
| Date  | 31 MAY 2002   |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C., UNITED STATES OF AMERICA

In re Application of:

Applicant(s): **BRIDGWATER**

Serial No.: **10/076,024**

Filing Date: **14 FEBRUARY 2002**

Entitled: **SWARF FLUSHING SYSTEM**

Our File Ref.: **CIN-0103-US**



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Examiner:

Group Art Unit: **3722**

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**AUTHORIZATION TO CHARGE DEPOSIT ACCOUNT**

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Honorable Commissioner for Patents  
United States Patent and Trademark Office  
Box MISSING PARTS  
Washington, D.C. 20231

Dear Commissioner:

Now comes Applicant, by the below-named authorized counsel, and hereby authorizes the U.S. Patent and Trademark Office to charge Deposit Account no. 50-0760 in the amount of \$1146.00 consisting of: 1) \$740.00 for payment of the basic filing fee; 2) \$126.00 for payment of seven additional claims in excess of 20; 3) \$130.00 for payment of the surcharge for submitting the above-stated fee and declaration later than the filing date of the present application; 4) \$40.00 for payment of the fee for recording one assignment as against one (1) patent application; and, 5) \$110.00 payment of the fee for filing the enclosed Request for Extension of Time Under 37 C.F.R. § 1.136(a). Applicant respectfully requests that any deficiency be charged (or that any overpayment be credited) to the above-stated Deposit Account.

The undersigned hereby certifies that a true and accurate copy of the within



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ORIGINAL FILED

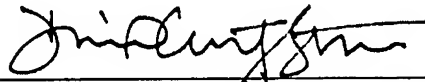
Serial No. 10/076,024  
Our Ref. CIN-0103-US

"Authorization to Charge Deposit Account" is being deposited with the U.S. Postal Service in an envelope addressed to the Honorable Commissioner for Patents, United States Patent & Trademark Office, Washington, D.C. 20231, for first-class mail delivery, postage pre-paid, on this the 31st day of May, 2002.

Respectfully submitted,

DANIEL GEORGE BRIDGWATER, Applicant

Date: 31 May 2002



Daniel C. Stelter, Reg. No. 40,830  
Counsel for Applicants

Cincinnati Machine, A UNOVA Company  
4701 Marburg Avenue, Cincinnati, Ohio 45209  
(513) 841-7032 phone, (513) 841-7020 fax  
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JUN 01 2002

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